



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/557,334	04/24/2000	Glen K Okita	0600/96755	7800

24628 7590 03/21/2007  
WELSH & KATZ, LTD  
120 S RIVERSIDE PLAZA  
22ND FLOOR  
CHICAGO, IL 60606

EXAMINER
----------

IBRAHIM, MOHAMED

ART UNIT	PAPER NUMBER
----------	--------------

2144

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	03/21/2007	PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

## Office Action Summary

Application No.

09/557,334

Applicant(s)

OKITA ET AL.

Examiner

Mohamed Ibrahim

Art Unit

2144

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 30 November 2006.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-3 and 5-27 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-3 and 5-27 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date 10/16/2006.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_

***Response to Amendment***

1. This communication is responsive to the response received on November 30, 2006.

Claims 1, 14, 20 and 26 have been amended.

Claims 1-3, 5-27 are still pending.

***Claim Rejections - 35 USC § 103***

2. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 1-3 and 5-27 are rejected under 35 U.S.C. 103(a) as being unpatentable over Sebesta et al (Sebesta), U S Patent No. 6324681 in view of Bosch, U S Patent No. 6519601.

Regarding claim 1, Sebesta discloses a method of adding an event source to a transaction processing system having a workflow server engine "On-Line Transaction Processing OLTP" comprising (Col 2 lines 35-45 and Fig. 5): defining the event source "DCOM client/server component" in a workflow database (Col 2, lines 50-60, col 4, lines 55-60 and col 5, lines 5-15); [event is defined by the view file] creating at least one executable function which creates a data structure that receives events coming from the event source (Col w, line 65-col 3, line 10, col 6, lines 5-10); and

Art Unit: 2144

creating a workflow to be executed on the workflow server engine, said workflow triggered by the executable function in response to receipt of an event from the event source "standard call from a client to OLTP" (Col 3 lines 5-15 and col 6 lines 5-15).

Although Sebesta discloses the invention substantially as claimed, it does explicitly disclose event triggers for specifically with business rule.

However, Bosch teaches event triggers that perform business rule checks (see e.g. col 9 lines 23-26). At the time of the invention it would have been obvious to one of ordinary skill in the art to include Sebesta's system an event triggers directed to business rules. Motivation for doing so would have been to develop more intelligent event triggers that are specific for business rules in order to support and facilitate consistency checks on business rules (see Bosch, col 9 lines 28-30).

Regarding claim 2, Sebesta-Bosch teaches that the event definition includes an event id "universal unique identification UUID" (Col 6 lines 15-20 and lines 55-65).

Regarding claim 3, Sebesta-Bosch disclose, that the created workflow is associated with the event id so that the created workflow is executed in response to any event having the event id (Col 6 lines 55-65).

Regarding claim 5, Sebesta-Bosch teaches that the event definition includes a list of parameters associated with the event (Col 5, lines 5-15).

Regarding claim 6, Sebesta-Bosch teaches that the at least one executable function is comprised of a dynamic link library (Col 3, lines 15-25).

Regarding claim 7, Sebesta-Bosch teaches that the at least one executable function is designed to send an event to the workflow server engine (Col 6, line 55-Col 7, line 2).

Regarding claim 8, Sebesta-Bosch teaches that the event source is added without changing the workflow server engine (Col 3, lines 5-25). The DCOM client and server plays the role of a proxy thus there is no change in the OLTP (workflow server engine).

Regarding claim 9, Sebesta-Bosch teaches further comprising creating at least one rule for associating an event from the added event source with the workflow (Col 2, lines 55-60). The view files details what is required of the format and how it will be used.

Regarding claim 10, Sebesta-Bosch teaches that the rule includes a logic expression (Col 4 lines 13-15). To compare requires a logical AND.

Regarding claim 11, Sebesta-Bosch teaches that the event definition includes at least one parameter, and that the created at least one rule includes the use of the at least one parameter (Col 2 lines 55-65).

Regarding claim 12, Sebesta-Bosch teaches that a plurality of events are defined in the workflow database, the method further comprising categorizing the events into a plurality of event types (Col 2, lines 45-60 and Col 3 lines 1-10).

Regarding claim 13, Sebesta-Bosch teaches that each of the workflow server engine handles each of the event types in different ways (Col 3 lines 1-10).

Regarding claim 14, Sebesta discloses a method of adding a new subsystem "DCOM" to a workflow server engine "OLTP" having a plurality of subsystems (DCOMs for clients and servers) for providing events to the workflow server engine, the method comprising (Col 3, lines 1-30 and Fig. 5):

defining an event which will be generated by the new subsystem (Col 2 lines 50-60, Col 4 lines 55-60, and Col 5, lines 5-15):

creating a dynamic link library for creating a data structure that receives the defined event (Col 3, lines 15-25); and

associating the defined event with a workflow is executed on the workflow server engine, said workflow triggered by the dynamic link library in response to receipt of an event from the new subsystem (Col 3, lines 5-15 and Col 6, lines 5-15).

Although Sebesta discloses the invention substantially as claimed, it does explicitly disclose event triggers for specifically with business rule.

Art Unit: 2144

However, Bosch teaches event triggers that perform business rule checks (see e.g. col 9 lines 23-26). At the time of the invention it would have been obvious to one of ordinary skill in the art to include Sebesta's system an event triggers directed to business rules. The same motivation utilized in the combination of claim 1, equally applies as well to claim 14.

Regarding claim 15, Sebesta-Bosch teaches that the dynamic link library creates a data structure for the defined event (Col 3, lines 10-25).

Regarding claim 16, Sebesta-Bosch teaches that defining the event further comprises assigning an event id to the event (Col 6 lines 55-65).

Regarding claim 17, Sebesta-Bosch teaches that defining the event further comprises associating a plurality of parameters to the event (Col 2, lines 55-60).

Regarding claim 18, Sebesta-Bosch teaches that the plurality of subsystems also have a plurality of associated events (Col 3, lines 5-15).

Regarding claim 19, Sebesta-Bosch teaches further comprising exchanging events between different subsystems during the execution of the workflow (Col 3, lines 10-30).

Regarding claim 20, Sebesta discloses an apparatus for executing a transaction task

Art Unit: 2144

within a transaction processing "OLTP" system comprising (Col 2, lines 5-15 and Fig.

5):

a plurality of event providers (Client making a standard call using C, C++, Visual Basic) for providing a source of events to the transaction processing system (Col 3, lines 1-15); a database with a workflow server application program interface that stores information relating to the events provided by the event providers (Col 2, lines 45-55 and Col 6 lines 55-65); The place of storage used by the developer to store file that will be access by the DCOM client.

a workflow server engine "OLTP" for executing workflows, said workflows triggered in response to receipt of events from the plurality of event providers (Col 3 lines 20-30); and

a workflow editor for creating and editing workflows to be executed on the workflow server engine (Col2, lines 45-55 and Col 10, lines 5-20). This is the tool used by the developer to create the service.

Although Sebesta discloses the invention substantially as claimed, it does explicitly disclose event triggers for specifically with business rule.

However, Bosch teaches event triggers that perform business rule checks (see e.g. col 9 lines 23-26). At the time of the invention it would have been obvious to one of ordinary skill in the art to include Sebesta's system an event triggers directed to business rules.

The same motivation utilized in the combination of claim 1, equally applies as well to claim 20.



Regarding claim 21, Sebesta-Bosch teaches further comprising:

a new event provider (Col 3, lines 1-15);

a dynamic link library associated with the new event provider for allowing the new event provider to provide events to the workflow server engine (Col 3, lines 15-25).

Regarding claim 22, Sebesta-Bosch teaches that the dynamic link library allows the new event provider to provide events to the workflow server engine without changing the workflow server engine (Col 3, lines 15-30).

Regarding claim 23, Sebesta-Bosch teaches that the transaction processing system collects step execution information (Col 4, lines 10-20).

Regarding claim 24, Sebesta-Bosch teaches that the collected information includes information relating to the number of times a branch was executed by the workflow server engine (Col 4, lines 35-50).

Regarding claim 25, Sebesta-Bosch teaches that the collected information includes information relating to the step execution time for at least one step executed by the workflow server engine (Col 4, lines 10-20).

Regarding claim 26, Sebesta discloses workflow execution system comprising:  
a workflow server engine "OLTP" adapted to execute workflow "DCOM client and server" on the workflow server engine in response to an event "standard call from a DCOM client" (Col 3, lines 1-35 and Fig. 5):  
a database server (Col 2, lines 45-55) that receives the event and that triggers the workflow server engine to execute workflow (Col 3, lines 5-25);  
a plurality of subsystems for providing the events to the workflow server engine "OLTP";  
and that components of the workflow server engine are standards-based components "DCOM" (Col 3, lines 5-25).

Although Sebesta discloses the invention substantially as claimed, it does explicitly disclose event triggers for specifically with business rule.

However, Bosch teaches event triggers that perform business rule checks (see e.g. col 9 lines 23-26). At the time of the invention it would have been obvious to one of ordinary skill in the art to include Sebesta's system an event triggers directed to business rules.

The same motivation utilized in the combination of claim 1, equally applies as well to claim 20.

Regarding claim 27, Sebesta-Bosch teaches that the components are comprised of ActiveX controls "X/Open compliant" (Col 5, lines 1-10).

***Response to Arguments***

Applicant's arguments with respect to claims 1-3 and 5-27 have been considered but are moot in view of the new ground(s) of rejection.

***Conclusion***

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Please refer to form PTO-892 (Notice of Reference Cited) for a list of relevant prior art.

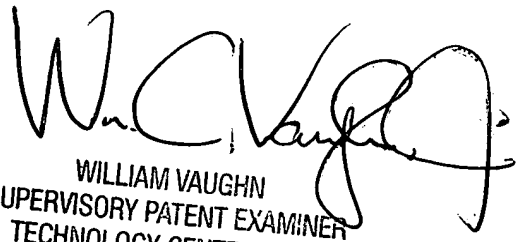
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Mohamed Ibrahim whose telephone number is 571-270-1132. The examiner can normally be reached on Monday through Friday from 7:30AM to 5:00PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, William C. Vaughn, Jr. can be reached on 571-272-3922. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 2144

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

MI/MI

  
WILLIAM VAUGHN  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100